



PATENT
5760-18800

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Dilip Madhusudan Ranade, Radha
Shelat, and Navin Kabra

Serial No. 10/750,426

Filed: December 31, 2003

For: Adaptive Caching for a Distributed
File Sharing System

Group Art Unit: 2153
Examiner: Unknown

Atty. Dkt. No. 5760-18800

I hereby certify that this correspondence is being deposited
with the U.S. Postal Service as First Class Mail in an envelope
addressed to: Commissioner for Patents, P.O. Box 1450,
Alexandria, VA 22313-1450, on the date indicated below:

B. Noel Kivlin
Registered Representative

8-18-05

Date

Signature

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant requests consideration of ☒ the references listed on the attached Form PTO-1449 and/or ☐ the additional information identified below in paragraph 3.

- ☒ Pursuant to CFR §1.98(a)(2)(i), copies of the cited U.S. patents and/or U.S. patent application publications are not enclosed.
- ☒ A copy of each non-U.S. patent and/or non-U.S. patent application publication reference listed on the Form PTO-1449 is enclosed.
- ☐ The non-U.S. patent and/or non-U.S. patent application publication references listed on the Form PTO-1449 were previously cited in application serial no. _____ to which the captioned application is seeking priority under 35 U.S.C. §120; therefore, a copy of each reference is not enclosed.

1. This Information Disclosure Statement is submitted:

- a. ☐ within 3 months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
- ☐ within 3 months of the date of entry of the national stage as set forth in § 1.491 in an International application;

- ☒ before the mailing date of a first Office Action on the merits; or
☐ before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

- b. ☐ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus: ☐ the certification of paragraph 2 below is provided, or ☐ a fee of \$180.00 is enclosed.
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus: the certification of paragraph 2 below is provided and a fee of \$180.00 is enclosed.

2. It is hereby certified:

- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:

4. For each non-English language reference listed on the attached Form PTO-1449:

- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) _____, and/or
- ☐ reference is made to the concise explanation set forth below:

5. ☐ Applicant also offers the following comments for the Examiner's consideration:

6. ☐ Also enclosed is a copy of a foreign search report citing these references.

7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.
8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

If any required fees are missing, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account No. 50-1505/5760-18800/BNK.

Respectfully submitted,



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Date: 8-12-05

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DKT. NO. 5760-18800

APPLICANT: Ranade, et al

FILING DATE: December 31, 2003

SERIAL NO. 10/750,426

GROUP: 2153

U.S. PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES. | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|-------------------|--------------|-----------------|-----------------------|--------------------|-------|--------------|-------------------------------|
| | A1 | 5,689,706 | November 18, 1997 | Rao, et al. | | | |
| | A2 | 6,782,389 | August 24, 2004 | Chrin, et al. | | | |
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| | A7 | 5,434,994 | July 18, 1995 | Shaheen, et al. | | | |
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| | A10 | 2002/0114341 | August 22, 2002 | Andrew Sutherland | | | |
| | A11 | 2002/0147815 | October 10, 2002 | Alexander Tormasov | | | |
| | A12 | 2002/0065919 | May 30, 2002 | Ian Taylor | | | |
| | A13 | 6,874,001 | March 29, 2005 | Narang, et al. | | | |
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| | | | | | | | |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

| Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary) | | ATTY. DKT. NO. 5760-18800 APPLICANT: Ranade, et al FILING DATE: December 31, 2003 | | SERIAL NO. 10/750,426 GROUP: 2153 | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|--------------------------------------|---------------------------|-------------------------------|
| U.S. PATENT DOCUMENTS | | | | | | |
| EXAM. INITIALS | REF. DES. | DOCUMENT NUMBER | DATE | NAME | CLASS SUB CLASS | FILING DATE IF APPROPRIATE |
| | | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| | A20 | "Lustre Whitepaper Version 1.0, Cluster File Systems, Inc., November 11, 2002. | | | | |
| | A21 | A. Rowstron and P. Druschel. "Pastry: Scalable, distributed object location and routing for | | | | |
| | A22 | Zhao, et al "Tapestry: An Infrastructure for Fault-tolerant Wide-area Location and Routing" <i>UCB Tech. Report UCB/CSD-01-1141</i> . April 2001. | | | | |
| | A23 | Stoica, et al "Chord: A Scalable Peer-to-peer Lookup Service for Internet Applications," <i>ACMSIGCOMM 2001</i> , San Diego, CA, August 2001, pp. 149-160. | | | | |
| | A24 | Manku, et al, "Symphony: Distributed Hashing in a Small World" Published in USITS, 2003. | | | | |
| | A25 | Kubiatowicz, et al "OceanStore: An Architecture for Global-scale Persistent Storage" <i>Proceedings of ACM ASPLOS</i> , November 2000. | | | | |
| | A26 | Adya, et al; "FARSITE: Federated, Available, and Reliable Storage for an Incompletely Trusted Environment"; <i>Proceedings of the 5TH OSDI</i> , December 2002. | | | | |
| | A27 | Garces-Erice, et al; "Hierarchical Peer-to-Peer Systems," In the Special issue of the <i>Parallel Processing Letters</i> (PPL), December 2003, Vol.13, No. 4. | | | | |
| | A28 | "Large Scale Peer-to-Peer Experiments with Virtual Private Community (VPC) Framework," Iwao, et al., CIA 2002, LNAI 2446, pp. 66-81, 2002. | | | | |
| | A29 | "BestPeer: A Self-Configurable Peer-to-Peer System," Ng, et al, Department of Computer Science, National University of Singapore, pp. 1-21. | | | | |
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